

<p style="text-align: center;">U.S. DEPARTMENT OF ENERGY</p> <p style="text-align: center;">NATIONAL TRANSPORTATION PROGRAM, ALBUQUERQUE</p> <p style="text-align: center;">Standard Operating Procedure</p>			
<p>Title: Requirements for NTP-A and/or Contractor Program Lead to Perform Carrier Monitoring Activities</p>			
<p>Procedure No:</p> <p style="text-align: center;">NTP-A-MCEP.003</p>	<p>Revision No:</p> <p style="text-align: center;">0</p>	<p>Date:</p> <p style="text-align: center;">June 2001</p>	<p>Page:</p> <p style="text-align: center;">Page 1 of 11</p>

1. PURPOSE

This procedure specifies a consistent approach to performing Stage 3 Monitoring activities in compliance with the requirements identified in the Motor Carrier Evaluation Program (MCEP) Management and Methodology Plans.

2. SCOPE

This procedure applies to the U.S. Department of Energy's (DOE) National Transportation Program-Albuquerque (NTP-A) and/or contractor Program Lead performing carrier monitoring activities as identified in the MCEP Management and Methodology Plans.

3. REQUIREMENTS, REFERENCES, ACRONYMS, AND DEFINITIONS

3.1 Requirements

- a. National Transportation Program *Motor Carrier Evaluation Program (MCEP) Management Plan*.
- b. DOE Order 460.2, Change 1, "Departmental Materials Transportation and Packaging Management," September 27, 1995.
- c. DOE Order 460.2, Change 1, "Contractor Requirements Document," September 27, 1995.
- d. DOE G-460.2-1, "Implementation Guide for Use With DOE Order 460.2," November 15, 1995.
- e. DOE Order 200.1, "Information Management Program," September 30, 1996.

3.2 References

- a. *Code of Federal Regulations*, Title 10, Part 71, "Packaging and Transportation of Radioactive Material," as amended.
- b. *Code of Federal Regulations*, Title 40, Part 263, "Standard Applicable to Transporters of Hazardous Waste," as amended.
- c. *Code of Federal Regulations*, Title 49, Parts 100-180, as applicable, "Hazardous Materials Regulations," as amended.
- d. *Code of Federal Regulations*, Title 49, Parts 40 and 355-399 as applicable, "Federal Motor Carrier Safety Regulations," as amended.

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3.3 Acronyms

DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
HAZMAT	Hazardous Materials
HMII	Hazardous Materials Inspection Indicator
MCEP	Motor Carrier Evaluation Program
NTP-A	DOE National Transportation Program-Albuquerque
SEA	Safety Evaluation Area

3.4 Definitions

MCEP NTP-A Program Manager: Provides functional oversight and approval of MCEP activities; defines policy; determines procedures; directs funding allocation; and controls the dissemination of information from the evaluation process to the field.

MCEP Contractor Program Manager: Provides day-to-day management of MCEP activities under the direction of the NTP-A Program Manager.

MCEP Program Lead: Ensures initial carrier screening is performed; schedules onsite evaluations; ensures accuracy of documentation received from carriers and distribution of information submitted to NTP-A; evaluates information on carrier performance metrics received in any of the three stages of the MCEP process; and ensures that evaluators (MCEP team Members) are both qualified and trained.

MCEP Team Member(s): Individuals qualified by experience and/or training to participate in the MCEP process as evaluators in any of the initial carrier screening, onsite evaluation, or carrier monitoring stages.

4. GENERAL

All monitoring activities identified in the flow diagram shown in Attachment A will be performed by the contractor Program Lead or other designated personnel.

Five different outcomes can be obtained as a result of carrier monitoring activities. These results are identified in Section 4 of the MCEP Methodology Plan.

Other DOE and contractor transportation personnel will provide input into the carrier monitoring process through the End User Survey (included as Attachment C to this document).

Carriers who do not meet the requirements for inclusion into the Motor Carrier Evaluation Program may still participate in the MCEP through the initial carrier screening and carrier monitoring stages only. For example, a less-than-truckload carrier, in most cases, may not transport truckload quantities or Highway-Route-Controlled-Quantity activity levels of radioactive materials. However, the general requirements of the program can extend to motor carriers regardless of the types of hazardous commodities transported.

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Therefore, carriers who do not meet the basic requirements for an MCEP onsite evaluation could still participate in the program. Any carrier participating in the MCEP program must meet all of the MCEP initial carrier screening and carrier monitoring criteria for transporting DOE-owned commodities.

Appendix D (“Letter of Caution”) provide means of communicating negative trends identified through continuous carrier monitoring to an individual carrier for attention and corrective action. The following criteria apply to the use of the letter.

Letter of Caution

A carrier with driver-, accident-, safety management-, or vehicle-related Safety Evaluation Area (SEA) values ranging from 65 to 74 will be sent a “Letter of Caution.” Carriers who do not maintain a reportable crash rate or Hazardous Materials Inspection Indicator (HMII) rate of 65 or less will also receive a “Letter of Caution.” This letter will notify the carrier that, improvements are required to maintain the carrier’s status as an approved transporter of DOE-owned materials. Unless corrective actions are taken and negative trending is improved, the MCEP may place the carrier in non-use status for service as a transporter of DOE-owned materials. Carriers may be required to submit a letter stating their planned corrective actions.

Non-Use Status

A carrier that (1) has driver-, accident-, safety management-, or vehicle-related SEA values of 75 or higher; or (2) has a reportable crash rate or HMII rate of 75 or higher; or (3) has failed to respond to a “Letter of Caution” when corrective actions are requested; or (4) has received a conditional or unsatisfactory rating from the Federal Motor Carrier Safety Administration; or (5) does not continue to meet DOE mandatory requirements will be placed in non-use status and will not be approved by the MCEP for use by DOE or contractor traffic managers as a transporter of DOE-owned materials.

5. PROCEDURE

Attachment A contains a flow diagram depicting the overall work process associated with this procedure.

6. RECORDS

Records generated as a result of this procedure are to be identified, classified, and prepared in accordance with DOE Order 200.1, and managed in compliance with the requirements specified in DOE Guidance 200.1. At minimum, the following are to be considered Quality Assurance records:

MCEP Carrier Identification Report
End User Survey
Letters of Caution

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7. ATTACHMENTS

Attachment A – Monitoring Process Flow Diagram

Attachment B – MCEP Carrier Identification Report

Attachment C – End User Survey

Attachment D – Letter of Caution

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8. REVISION LISTING

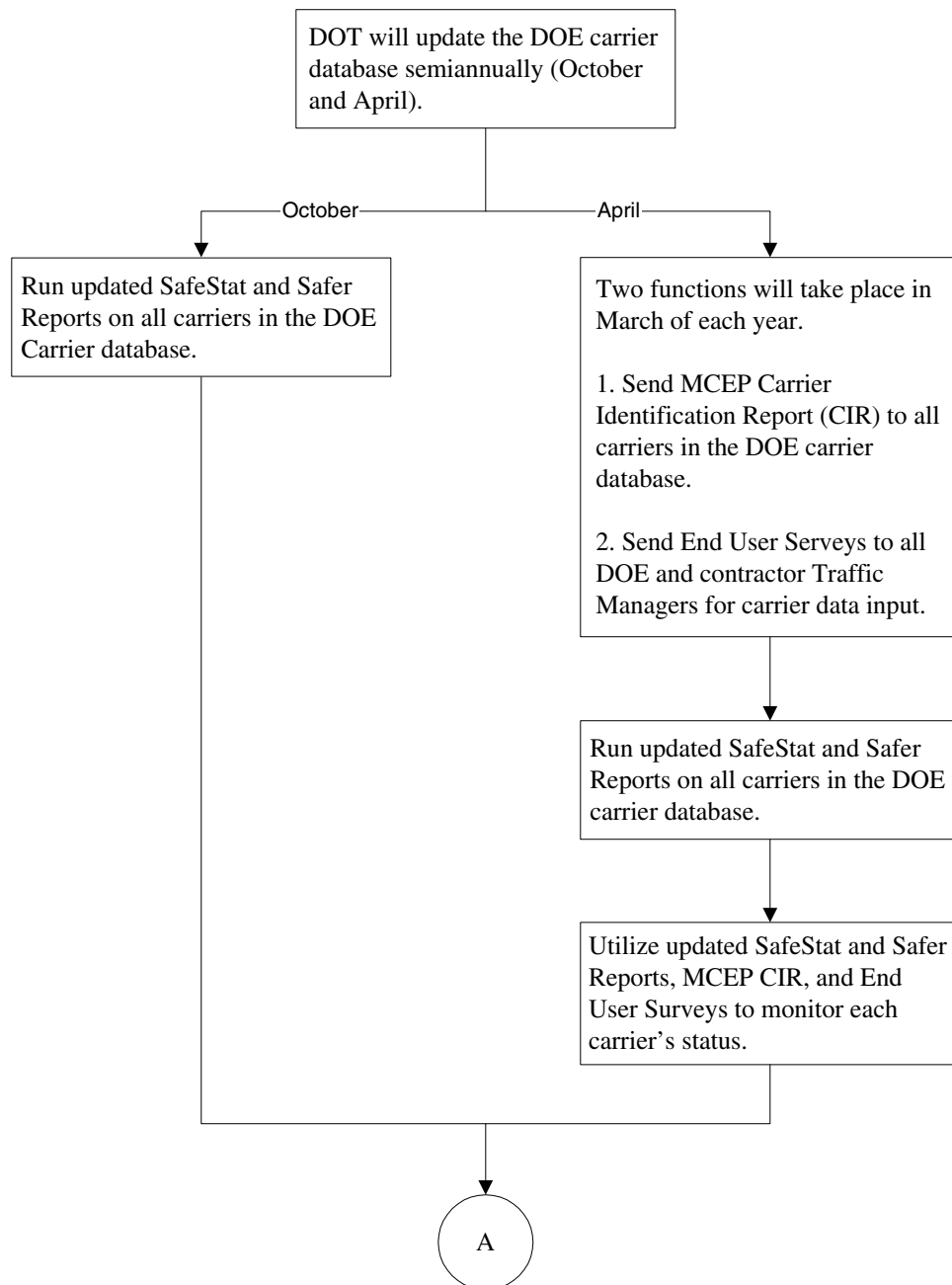
Revision Number
0

Description
NTP-A-MCEP.001

Revision Date
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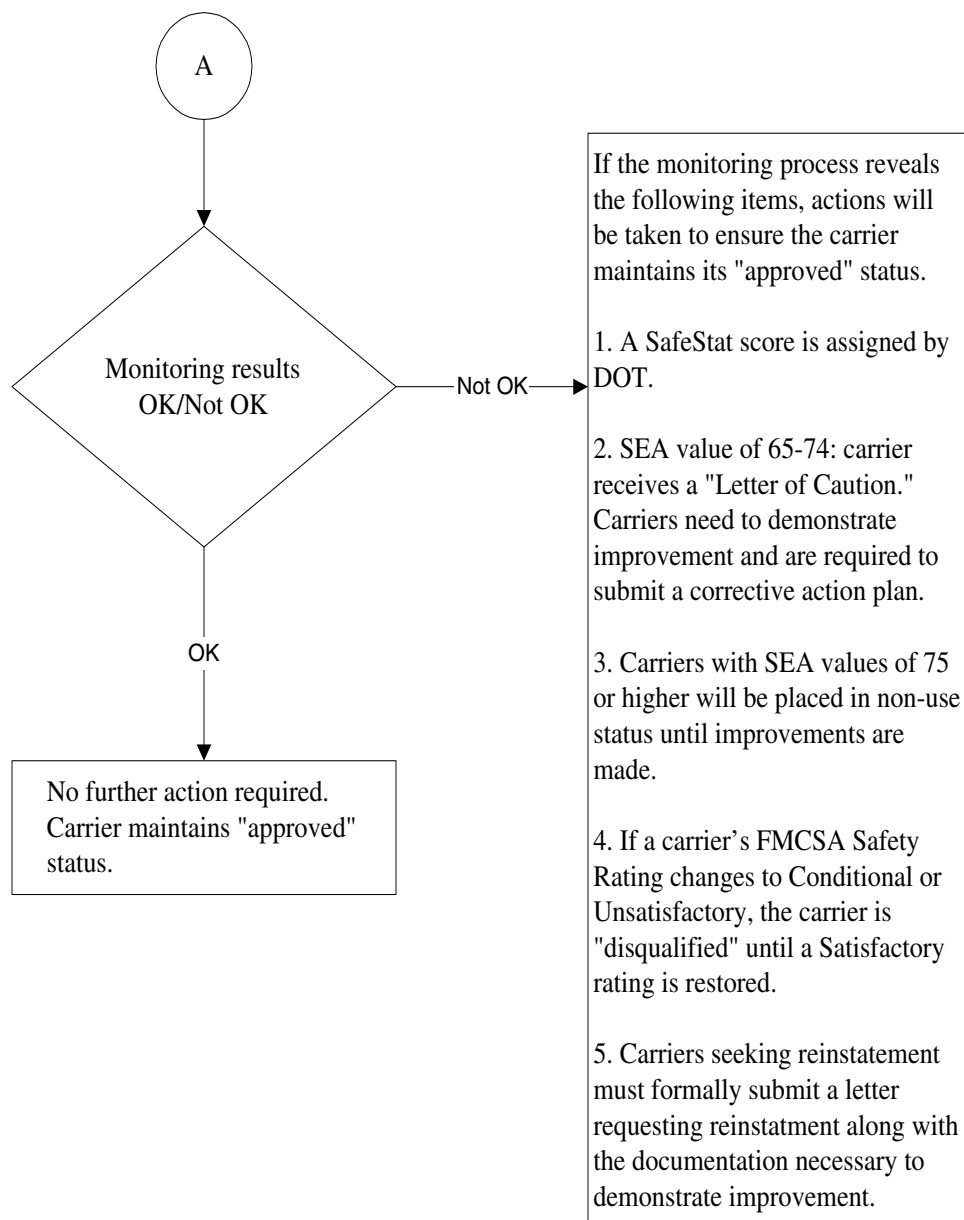
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Attachment A **Monitoring Process Flow Diagram**



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Attachment A (cont.)
Monitoring Process Flow Diagram



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Attachment B

MCEP Carrier Identification Report

1. Name of Motor Carrier/HM Shipper				2. Trade or D.B.A. (Doing Business As) Name			
3. Street Address				4. Mailing Address (P.O. Box)			
5. City	6. State/Province	7. Zip Code + 4	8. Mailing City	9. State/Province	10. Zip Code + 4		
11. Principal Phone Number		12. Principal FAX Number		13. Contact Name and Phone Number			
14. USDOT No.	15. MC or MX No.	16. Dun & Bradstreet No.	17. Internet email Address				
18. Current Mileage Year		19. Mileage – Previous Year Year		20. Mileage – 2 yrs Previous Year			
21. Current Bankruptcy Filing <input type="checkbox"/> Yes <input type="checkbox"/> No Type of Filing State and Date of Filing				22. IRS/Tax ID # EIN # SS #			
23. Type of Carrier (Circle all that apply) A. Less Than Truckload B. Truckload C. Transcontinental D. Regional E. Local F. For-Hire Carrier G. Private Carrier							
24. Cargo Classifications (Circle All That Apply) General Freight Hazardous Materials Bulk Packages Radioactive Materials							
25. Hazardous Materials Carried <div style="display: flex; flex-wrap: wrap;"> <div style="flex: 1; min-width: 200px;"> <input type="checkbox"/> Class 1 Explosives <input type="checkbox"/> Div 1.1 <input type="checkbox"/> Div 1.2 <input type="checkbox"/> Div 1.3 <input type="checkbox"/> Div 1.4 <input type="checkbox"/> Div 1.5 <input type="checkbox"/> Div 1.6 <input type="checkbox"/> Class 2 Gases <input type="checkbox"/> Div 2.1 <input type="checkbox"/> Div 2.2 <input type="checkbox"/> Div 2.3 </div> <div style="flex: 1; min-width: 200px;"> <input type="checkbox"/> Class 3 Flammable Liquids <input type="checkbox"/> Class 4 Flammable Solids <input type="checkbox"/> Div 4.1 <input type="checkbox"/> Div 4.2 <input type="checkbox"/> Div 4.3 <input type="checkbox"/> Class 5 Oxidizers <input type="checkbox"/> Div 5.1 <input type="checkbox"/> Div 5.2 <input type="checkbox"/> Class 6 Toxic Materials <input type="checkbox"/> Div 6.1 <input type="checkbox"/> Div 6.2 </div> <div style="flex: 1; min-width: 200px;"> <input type="checkbox"/> Class 7 Radioactive Materials <input type="checkbox"/> Low specific activity <input type="checkbox"/> Surface-contaminated object <input type="checkbox"/> Type A <input type="checkbox"/> Type B <input type="checkbox"/> Highway route controlled quantity <input type="checkbox"/> Class 8 Corrosive Materials <input type="checkbox"/> Class 9 Misc. Hazardous Materials <input type="checkbox"/> Wastes <input type="checkbox"/> Low Level <input type="checkbox"/> Other <input type="checkbox"/> High Level <input type="checkbox"/> Transuranic waste <input type="checkbox"/> Mixed <input type="checkbox"/> Polychlorinated biphenyls <input type="checkbox"/> Hazardous <input type="checkbox"/> Spent reactor fuel </div> </div>							

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Attachment B (cont.)
MCEP Carrier Identification Report

26. EPA Transporter Registration No. _____	27. RSPA Hazmat Registration No. (include current copy of certificate) Reg. No. _____ Expiration Date _____		28. Liability Insurance Coverage (include current copy of MCS-90 and Accord Form) Amount _____ Expiration Date _____	
29. Equipment	Owned	Leased	Owner/Operator	
Straight Trucks				
Truck/Tractors				
Van Trailers				
Flatbed Trailers				
Cargo Tank Trailers	Dry Liquid	Dry Liquid	Dry Liquid	
Dump Trailers				
Roll On/Roll Off Trailers				
Intermodal Waste Boxes				
Specialized Equipment (i.e. containment floors, etc.)				
Other (Specify)				
30. Drivers Subject To FMCSR: Union _____ Non-Union _____ Owner/Operators _____ 100-Mile Radius _____ Total Drivers _____ Total CDL Drivers _____				
Completed by: _____ Title: _____ Date: _____				

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Attachment C

Motor Carrier Evaluation Program (MCEP) "End User Survey"						
Carrier Name: _____ USDOT/MC# _____						
Carrier Phone: _____ Carrier Fax: _____						
Please rate the following statements on the accompanying scale, (5) being the highest and (1) the lowest.						
Shipments are consistently picked up and delivered on time.	High	5	4	3	2	1 Low
The carrier's local service representatives are:						
A. Knowledgeable		5	4	3	2	1
B. Responsive		5	4	3	2	1
How competitive are the carrier's current rates?		5	4	3	2	1
The carrier maintains an adequate inventory of equipment.		5	4	3	2	1
Carrier's vehicles and safety equipment meet Federal Motor Carrier Safety Regulation requirements.		5	4	3	2	1
The carrier's drivers are knowledgeable of the requirements for safe handling and transport of hazardous materials.		5	4	3	2	1
Drivers perform duties in a safe manner.		5	4	3	2	1
Cargo is secured to meet Federal Motor Carrier Safety Regulation requirements.		5	4	3	2	1
Rate accessibility of shipment status en route.		5	4	3	2	1
The carrier is willing and able to expedite shipments on request.		5	4	3	2	1
The carrier is responsive and cooperative in dealing with losses or damage in transit.		5	4	3	2	1
The carrier's billings are accurate and prompt.		5	4	3	2	1
Is the carrier or site utilizing EDI successfully?		5	4	3	2	1 N/A
Is the carrier responsive and prompt in the payment of freight claims?		5	4	3	2	1
Rate the carriers overall performance over the past 6 months.		5	4	3	2	1
Would you recommend this carrier?		5	4	3	2	1
Comments: 						
Survey Completed By: _____ Organization/Site: _____						
Address: _____ City/State/Zip: _____						
Phone: _____ Fax: _____						

Please Fax this survey to Duratek Federal Services (509) 376-0361, Attn: Barbara Stone

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Attachment D **Letter of Caution**

Name (carrier)
Address
City, State, Zip

Name of Point of Contact for Carrier,

The U.S. Department of Energy's (DOE) National Transportation Programs-Albuquerque (NTP-A) Motor Carrier Evaluation Program (MCEP) continuously monitors carriers that are approved by the program to transport DOE-owned radioactive materials and hazardous waste, as well as other hazardous materials. Such monitoring is done via biannual reviews of updates of the Department of Transportation (DOT) SafeStat database as well as other information to ensure that MCEP-approved carriers continue to meet the minimum DOE requirements for approval.

As negative performance trends can lead to loss of a carrier's MCEP approval and its subsequent non-use by DOE, it is NTP-A policy to notify carriers of any negative data received during the MCEP monitoring process and to request an explanation of each item. This proactive approach is intended to advise and assist carriers in making whatever improvements may be necessary to maintain their eligibility for MCEP approval.

This letter is to inform (name of carrier) that MCEP monitoring has revealed certain negative trends in your company's performance. These negative trends are identified below:

- 1.
- 2.
- 3.

Please provide a detailed explanation of the circumstances related to each of these trends and those action(s), if any, being taken by management to correct them. Please note that (name of carrier) currently remains approved by MCEP to transport for DOE. Continuation of these negative trends, however, could result in (name of carrier) losing its status as an MCEP-approved carrier of DOE-owned materials until the problems are corrected and the corrections are verified.

Failure to respond to this MCEP Letter of Caution by explaining and correcting the negative trends listed above could result in the carrier being placed in a non-use status.

If you have any questions regarding this letter, please contact me at (number of person signing the letter) or (name of individual) of my staff at (phone number).

Respectfully,

Enclosures